# NU-RES Umbrella - *How to make sure you are covered*
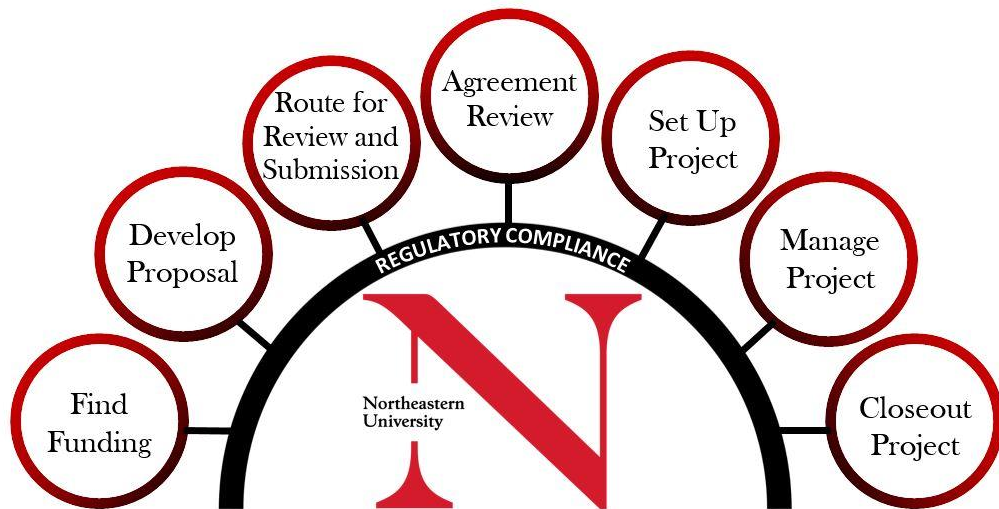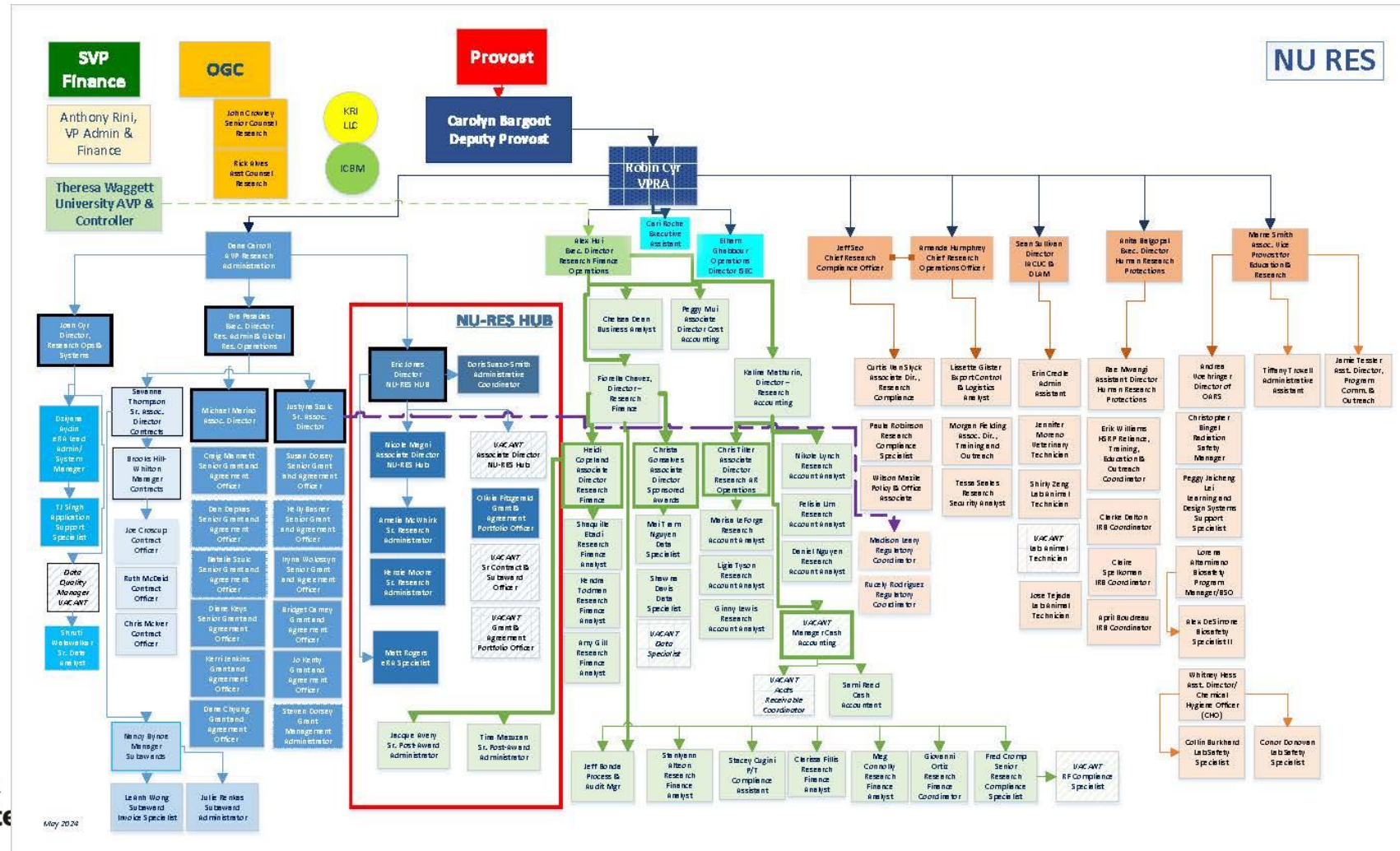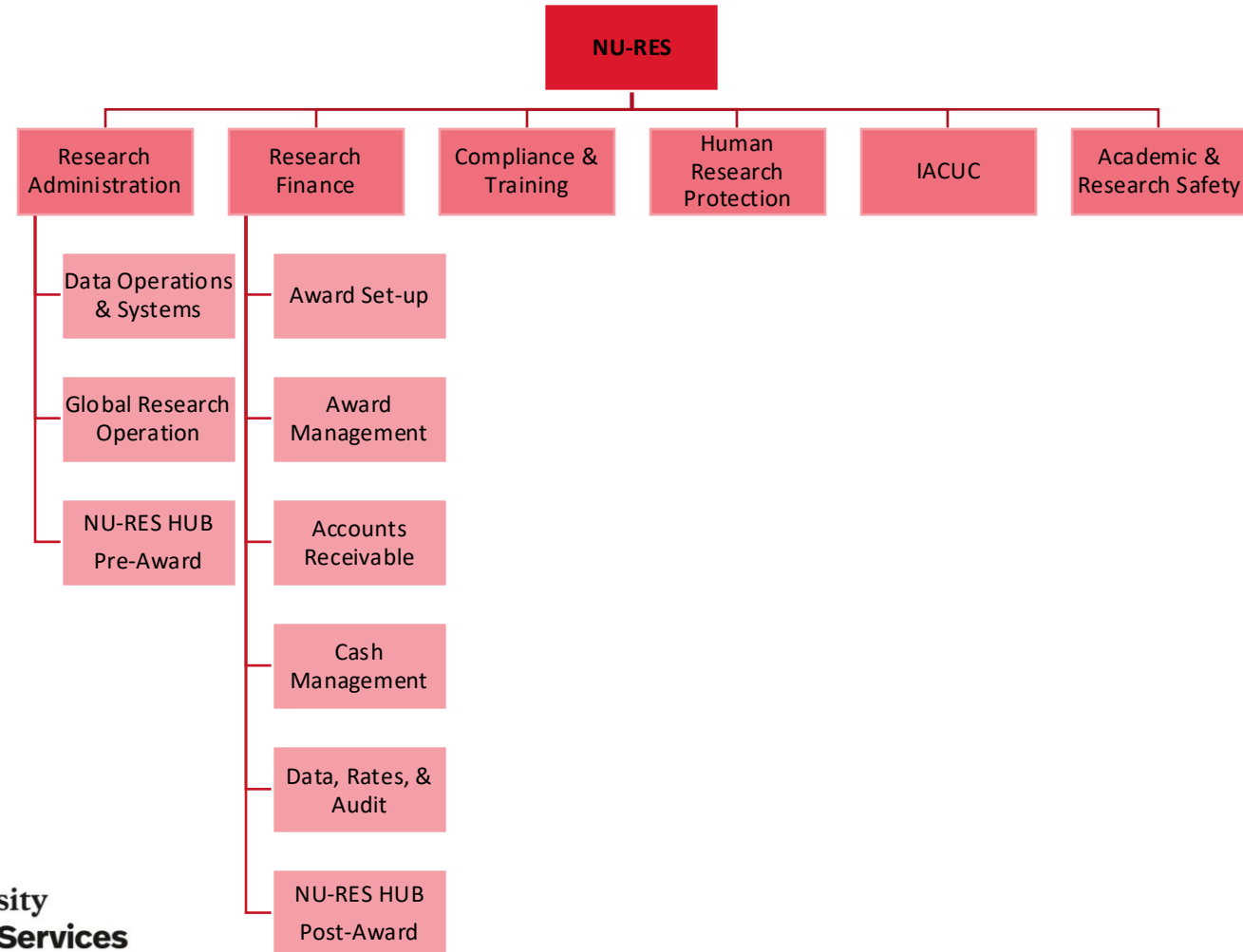
- The Umbrella
- NU-RES Administration
  - Data Operations and Systems
  - Contract Review
  - Outgoing Subawards
- AOS Process
- NU-RES Research Finance
- No Cost Extensions
- Other Actions
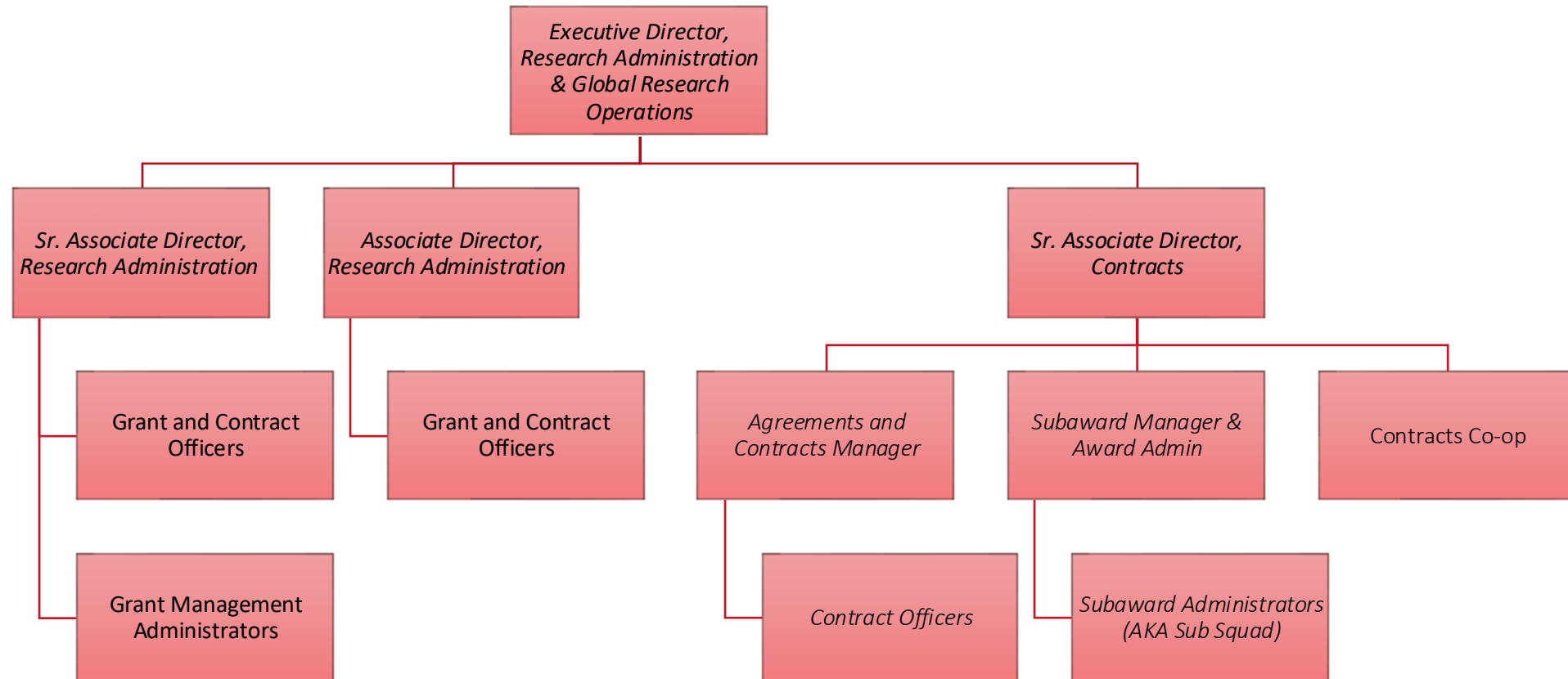- Closeouts
- Q&A

# Who is the Umbrella?

*(org chart as of May 31, 2024)*

# Simplifying the umbrella

# NU-RES RA

# NU-RES RA: Grant & Contract Officers (GO)

| Task | Intake | Initial Review | Final Review/Approval |
|------|--------|----------------|----------------------|
| • Proposal Review & Submission<br>• Just in Time (JIT) | College initiates in ePAWS and Agency System (if applicable) | Grant & Contract Officers (GO) | Associate Director (per team assignment) |
| • Grant Agreements<br>• Cooperative Agreements (CAs)<br>• Subawards under Grants & CAs | Routed/assigned via eCLAWS | Grant & Contract Officers (GO) | Associate Director (per team assignment) |
| Award Acceptance/Compliance Reviews | Grant Management Administrator | Grant & Contract Officers (GO) | Associate Director (per team assignment) |
| Prior Approvals and Lifecycle Management Transactions (*Includes: Rebudget requests, Carryover requests, No-Cost Extensions, Just-in Time, etc.*) | Grant Management Administrator | Grant & Contract Officers (GO) | Associate Director (per team assignment) |

Northeastern University
**Research Enterprise Services**

LVX VERITAS VIRTVS

# NU-RES RA: Subs & Contracts

| Task | Intake | Initial Review | Final Review/Approval |
|---|---|---|---|
| Subawards – Outgoing | Routed/assigned via eCLAWS | Subaward Manager | Executive Director |
| • Federal Contracts<br>• Subcontracts under Federal Prime Contracts<br>• Unfunded Agreements with non-Industry partners<br>(including: Material Transfer Agreements, Data Use Agreement; Non-Disclosure Agreements, Memorandums of Understanding, etc.) | Routed/assigned via eCLAWS | Agreements & Contracts Manager | Executive Director |
| Industry Agreements<br>• Funded Agreements<br>  • Solely funded by industry partners<br>• Unfunded Agreements<br>  • Solely with industry partners | Routed/assigned via eCLAWS | Contract Officers (CO) | Executive Director |

# NU-RES Data Operations & Systems (DOS)
## What we do  …/Who are our customers…   /Who we are…



System/ Website support

Data reporting

Project Management

Process Improvement



DOS

RA

RC

Colleges

IRB

DLAM

OARS

RF
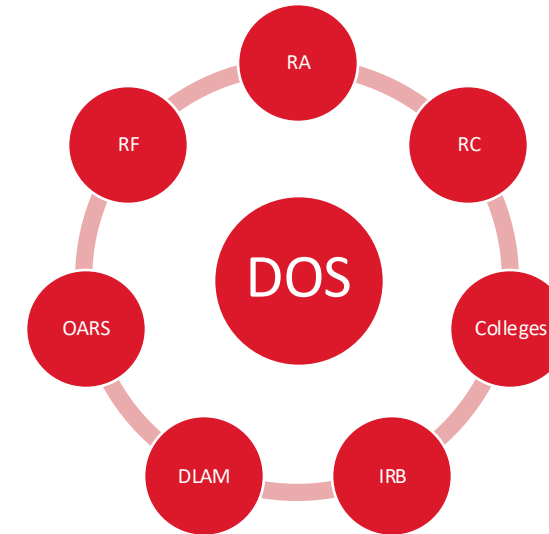
NU-RES Help Center

Dziyana Aydin
*Lead eRA Administrator - System Manager*
⋮ View Profile

Geetha Parthasarathy
*Web Content Specialist*
⋮ View Profile

Joan Cyr
*Director - Research Operations and Systems*
⋮ View Profile

Mandar Jadhav
*Data Analyst*
⋮ View Profile

Neha Bhutkar
*eRA Support Administrator*
⋮ View Profile

Shruti Walawalkar
*Sr Data Analyst*
⋮ View Profile

Tajinder jeet Singh (TJ)
*eRA Support Specialist*
⋮ View Profile

Northeastern University
**Research Enterprise Services**

LVX VERITAS VIRTVS

# Contract Review

## SWIFT REVIEW

- eCLAWS Info complete
- INTAKE sheet completed by PI and attached to eCLAWS
- Compliance Docs attached
- Related Award # & Docs & ePAWS
- Relevant emails uploaded to eCLAWS

**Required for review:**
- eCLAWS record
- Intake Sheet for MTA/DUA/NDA
- Agreement and related documents for review

**May cause delays/ result in eCLAWS record returned to Submitter**
- Incorrect Agreement Type and/or Amount in eCLAWS
- Incorrect PI name & eCLAWS details
- Incorrect info on Intake sheet
- No compliance documents (if required) (BIO/ IRB/IACUC/)
- No Related Records linked
- Incomplete details for other party
- Source of NU's data/ material/ technology not clear

Northeastern University
**Research Enterprise Services**

LVX VERITAS VIRTVS

# Outgoing Subawards Process



1. Subaward is incorporated into a funding proposal
2. Proposal is awarded and department sends details to NU-RES GO, who shares it with the Subawards Team
3. Subawards Team conducts a risk assessment of the subrecipient entity to ensure appropriate terms are included
4. Subawards Team asks PI and department for compliance details of the subrecipient's scope of work (human subjects research, vertebrate animals, human subjects data exchange, biological/chemical material transfer)
5. Subaward agreement is issued to subrecipient for review, signature, and contact information
6. Subrecipient returns partially-executed agreement for NU AOR countersignature
7. Once fully-executed, subaward is returned to the subrecipient and their work begins. Subawards Team logs agreement into Coeus and the obligated amount is encumbered in Banner via PO.
8. Subrecipient invoices Subawards Finance Administrator (SFA) for costs incurred during project; SFA sends invoices to PI/department to approve. Once the acceptable invoice is received, **NU has 30 days to make the payment**, so it is essential the PI/department approve the invoice as soon as possible. Questions about invoiced costs should be directed to SFA, who will communicate with subrecipient for clarifications.

Northeastern University
**Research Enterprise Services**

LVX
VERITAS
VIRTVS

# Outgoing Subawards Process continued

9.  Multi-year subawards are awarded in the same manner as the prime award, e.g., in annual increments or all up front.

10. PI is responsible for monitoring subrecipient's technical progress on the project.  **PI should inform Subawards Team as soon as possible if any problems arise.**

11. At the end of the prime award, SFA requests a final invoice from subrecipient, if they have not yet sent it

12. PI confirms that subrecipient has performed the work for which they are requesting payment, and that all final reports have been received to facilitate reporting to the prime sponsor.

Northeastern University
**Research Enterprise Services**
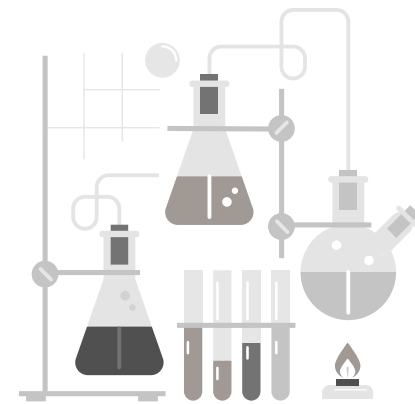
# Award Obligation Setup (AOS) Process –
## Research Administration

NOA received or contract fully executed

**GMA**
- Logs Award
- Sends Congrats & Regulatory emails
- Requests Banner account
- Compiles Backup

**GO**
- Verifies budget
- Confirms regulatory compliance

**AD**
- QC Review
- Uploads to COEUS
- Routes to RF

N
LVX
VERITAS
VIRTVS

# Banner Setup – Research Finance

**Congrats Email Sent to Banner_Setups**

**NU-RES Research Administration AOS Process Occurring Concurrently**

**Intake and Assignment of Setup**
- TLog# added to RF Tracking Log
- New Awards
- Increments
- Supplements
- Deobligations
- Advance Request

**DS prepares RF Setup Form**
- Reviews award documents & follows up with Dept or RA for open questions
- New Setup or Continuation Form completed

**AD review**
- Reviews Setup Form & NOA
- Follows up on any open questions
- Signs off and returns to DS for Banner Entry

**Banner Entry & Notificaiton**
- Banner Access Request for PI
- Overnight Load to Banner
- Banner feeds Priority
- Info Form

**At-Risk Advance Request sent to Banner_Setups**

- *From Congrats email to Info Form, estimated timeframe is 2 weeks.*
- *Advance & expedited requests have a goal of 1 week.*
- *Setups are processed in order of receipt.*

**Things that can cause setup delays:**
- Problems with budget (missing, incomplete information, discrepancies with NOA, etc.)
- Missing terms & conditions
- Org # or start date questions
- High volume of expedited requests

# Informational Form

- 4 types: New Award, At-Risk Advance, Modification, & Advance Update
  - If At-Risk, Modification, or Advance Update, there will be language to identify at the top of the form.
- 3 Sections: General, Budget & Compliance, & Reporting
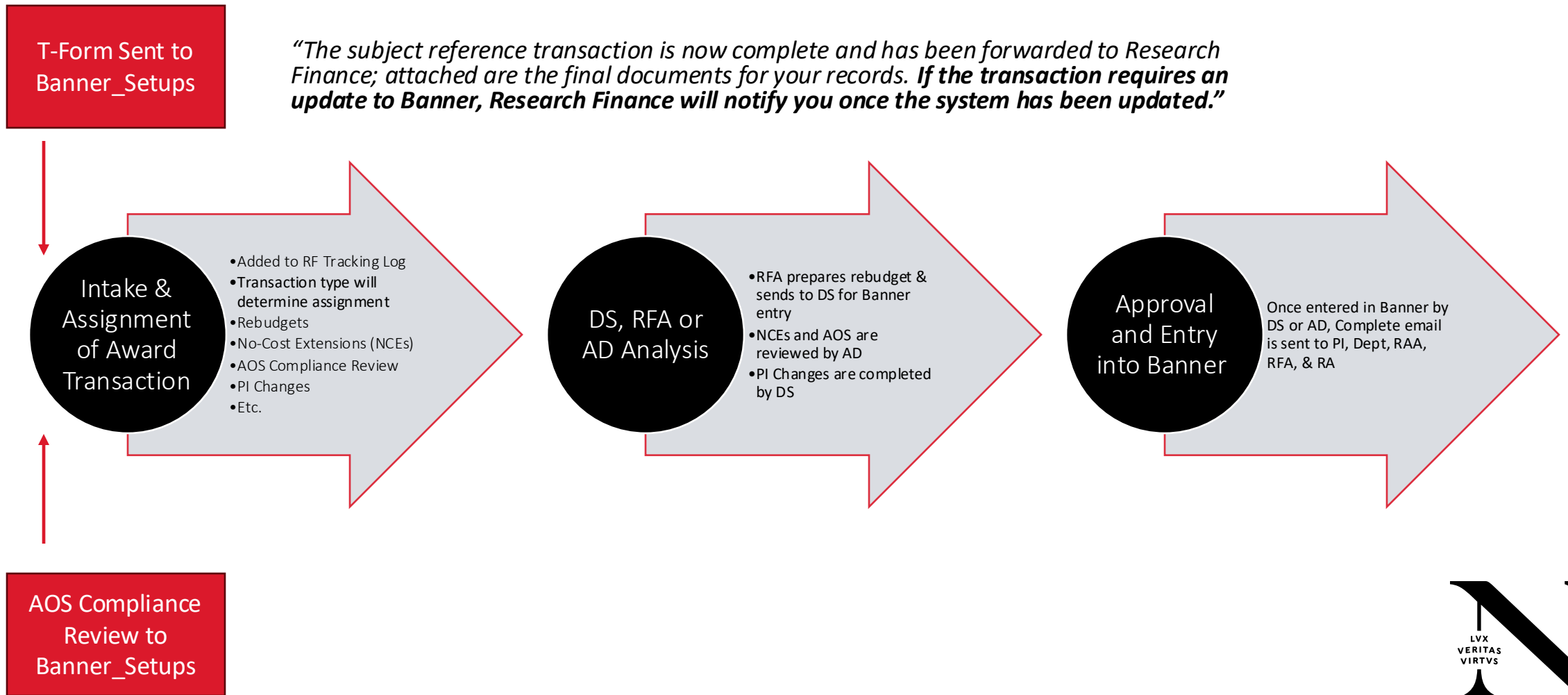- PI/Dept. should review form and setup for any corrections/discrepancies

Northeastern University
**Research Enterprise Services**

| Date | 2/6/2024 |
| T-Log # | A-123456 |

Northeastern University
**Research Enterprise Services**

**INFORMATIONAL FORM**

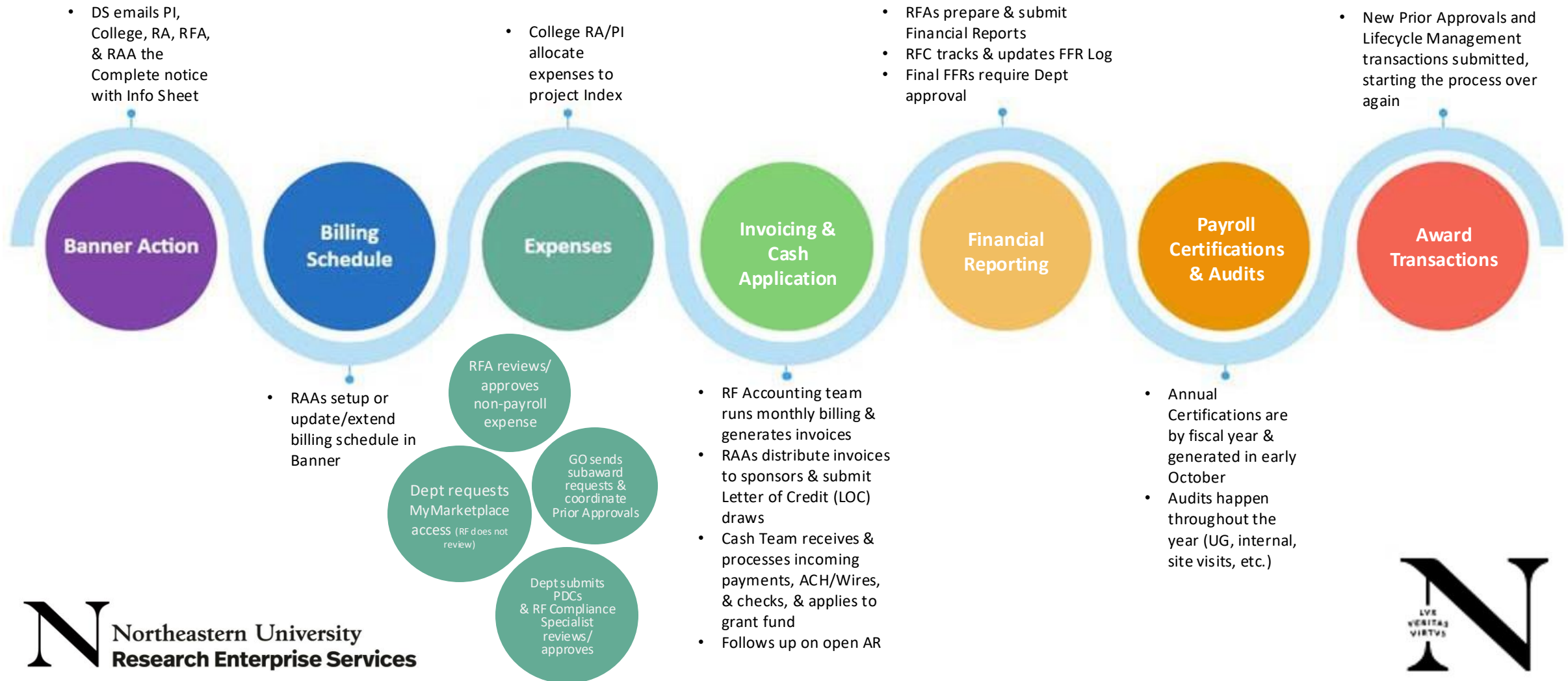| General Information | | | |
|---|---|---|---|
| Grant Title: | Ecosystem on the Edge: How Coastal Marsh Plants and Microbes Thrive in an Oscillating Environment | | |
| Grant #: | G00009999 | Principal Investigator: | Jane Doe |
| Fund(s) #: | 599999 | Co-PI(s): | - |
| Funding Agency: | Pass-through Entity University | College: | College of Science |
| Prime Funding Agency: | National Science Foundation | Organization: | 131500 - Marine and Environmental Sciences |
| Award/PO#: | 12345678 | Department Administrator: | Andrew Caldwell |
| Project Period: | 12/1/2023 — 11/30/2027 | Grant Officer: | Dana Chyung |
| Budget Period: | 12/1/2023 — 11/30/2024 | Research Finance Analyst: | Shaquille Ebadi |
| Payment Type: | Cost Reimbursable | Research Account Analyst: | Nikole Lynch |

| Budget Information | | Compliance Information | |
|---|---|---|---|
| Initial Budget Obligation in Banner: | $ 50,000.00  Budget Source: Proposal | Is Carryforward Automatic? | Yes |
| Total Anticipated Award: | $ 1,000,000.00 | Is a No-Cost Extension Allowed? | Not specified - TBD |
| IDC Rate: | 59.50% | Sponsor approval required for Travel? | No |
| Award includes subawards: | No | For fixed-price projects, are there requirements to return unspent funds: | N/A |
| Cost-Share Account Created: | No | Resources & Tools: | https://research.northeastern.edu/nu-res/all-resources/ |
| Participant Support Account Created: | No | Policies & Guidelines: | https://research.northeastern.edu/nu-res/policies-guidelines/#federalpolicies |
| Special Remarks: | Prior approval required for rebudgeting more than 10%. IDC budgeted to increase to 60% in Year 2. | | |

| Financial Reporting Schedule | | | | | |
|---|---|---|---|---|---|
| Schedule Type | College | ORG | RFA Assignment | Report Period End Date | Sponsor Due Date |
| Annual | College of Science | 131500 - Marine and Environmental | Shaquille Ebadi | 11/30/2024 | 3/30/2025 |
| Annual | College of Science | 131500 - Marine and Environmental | Shaquille Ebadi | 11/30/2025 | 3/30/2026 |
| Annual | College of Science | 131500 - Marine and Environmental | Shaquille Ebadi | 11/30/2026 | 3/30/2027 |
| Final | College of Science | 131500 - Marine and Environmental | Shaquille Ebadi | 11/30/2027 | 3/30/2028 |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Format/Template: | Sponsor's Template | | Submit To: | Portal@email.edu | |

# Banner Maintenance – Research Finance

**T-Form Sent to Banner_Setups**

"*The subject reference transaction is now complete and has been forwarded to Research Finance; attached are the final documents for your records.* **If the transaction requires an update to Banner, Research Finance will notify you once the system has been updated.**"

**Intake & Assignment of Award Transaction**

- Added to RF Tracking Log
- Transaction type will determine assignment
- Rebudgets
- No-Cost Extensions (NCEs)
- AOS Compliance Review
- PI Changes
- Etc.

**DS, RFA or AD Analysis**

- RFA prepares rebudget & sends to DS for Banner entry
- NCEs and AOS are reviewed by AD
- PI Changes are completed by DS

**Approval and Entry into Banner**

Once entered in Banner by DS or AD, Complete email is sent to PI, Dept, RAA, RFA, & RA

**AOS Compliance Review to Banner_Setups**

LVX VERITAS VIRTVS

# After Banner Setup

- DS emails PI, College, RA, RFA, & RAA the Complete notice with Info Sheet

- College RA/PI allocate expenses to project Index

- RFAs prepare & submit Financial Reports
- RFC tracks & updates FFR Log
- Final FFRs require Dept approval

- New Prior Approvals and Lifecycle Management transactions submitted, starting the process over again

**Banner Action**

**Billing Schedule**

**Expenses**

**Invoicing & Cash Application**

**Financial Reporting**

**Payroll Certifications & Audits**

**Award Transactions**

- RAAs setup or update/extend billing schedule in Banner

RFA reviews/ approves non-payroll expense

GO sends subaward requests & coordinate Prior Approvals

Dept requests MyMarketplace access (RF does not review)

Dept submits PDCs & RF Compliance Specialist reviews/ approves

- RF Accounting team runs monthly billing & generates invoices
- RAAs distribute invoices to sponsors & submit Letter of Credit (LOC) draws
- Cash Team receives & processes incoming payments, ACH/Wires, & checks, & applies to grant fund
- Follows up on open AR

- Annual Certifications are by fiscal year & generated in early October
- Audits happen throughout the year (UG, internal, site visits, etc.)

**Northeastern University
Research Enterprise Services**

LVX VERITAS VIRTVS

# NURES Finance Team
## How will you interact with our team?

| Activity | Research Finance Coordinator (RFC) @Research_Finance | Data Specialist (DS) @Banner_Setups | Research Finance Analyst (RFA) @Research_Finance | Senior Compliance Specialist @Research_Finance | Research Account Analyst (RAA) @Research_Billing | Cash Management @Research_Accounting | Process & Audit Manager; RF Leadership Team @Research_Finance |
|---|---|---|---|---|---|---|---|
| **Award Setup in Banner** <br> -New awards, amendments, increments, child account requests, cost share, deobligations, etc. <br> -Advance Accounts <br> -No-cost extensions | | X | | | X | | |
| **Budget Revisions** | | X | X | | | | |
| **Expense Compliance Reviews:** <br> -Journal Vouchers <br> -Cost Transfers <br> -Vendor Payments (Direct Pay Forms) <br> -Expense Reimbursements (non-Concur) <br> -PO Requisitions | | | X | | | | |
| -Concur Statements & Reimbursements | X | | | | | | |
| -Payroll Distribution Changes <br> -Summer Salary / Period Activity Pay | | | | X | | | |
| **Research Annual Certification** | | | | X | | | |
| **Financial Recon & Reporting** | | | X | | | | |
| **AR Management, Invoicing & Reconciliation, Letter of Credit (LOC) Draws** | | | | | X | | |
| **Vendor Registration / ACH Enrollment** | | | | | | X | |
| **Payments & Collections** | | | | | X | X | |
| **Financial & Administrative Closeouts** | X | X | X | | X | X | |
| **Audits - Internal, Agency-specific, Annual UG** | | | | | | | X |

N
LVX
VERITAS
VIRTVS

# No Cost Extensions (NCE)

- Dept. initiates with Transaction Form and supporting documentation.
  - Appropriate programmatic justification.

- Approval process depends on funding source and/or agreement type.
  - Unilateral vs. Bilateral approval.

- Once fully approved, RA sends to RF.

- DS updates Banner & sends notification, RAA update Billing Schedule, RFC updates FFR log

- Dept. continues work on project

Dept

RF

RA

RA

Sponsor

Things that delay NCE processing:

- Incomplete T-Form
- Sponsor approval not submitted with T-Form to RF

!
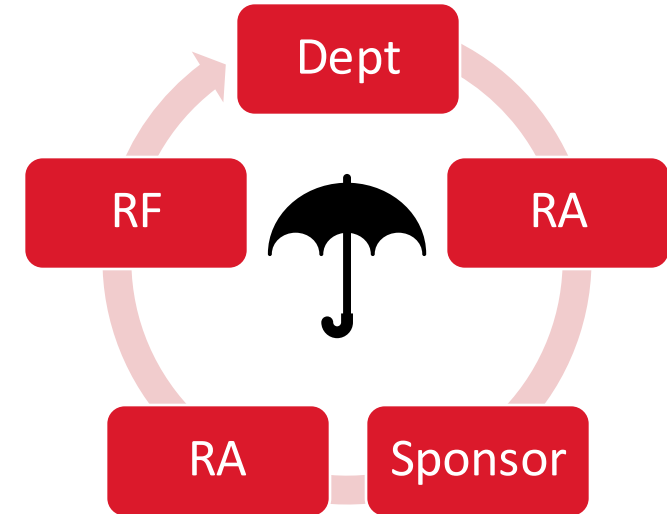
Reminder: Some Sponsors have cut off dates for submitting NCE requests. Requests that miss the deadline will be rejected.
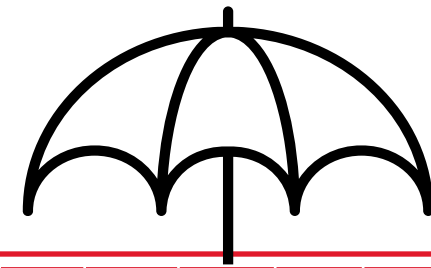
N
LVX
VERITAS
VIRTVS

# Other RF Actions/Reports

When else will you hear from us?

- At-Risk Advance follow up

- Deficit reports

- Cost Share funding reports

- Monthly College Summary & Expenditure Reports

- Audits

- 60-day Closeout notifications

LVX
VERITAS
VIRTVS

# Award Closeout



| | PI | DP | RA | RF | CRI |
|---|---|---|---|---|---|
| **60 Day Closeout Notification**<br>Monthly, the RFC generates a list from Banner of awards ending within 60 days & emails to PI/Dept.<br>• Dept ensures all final expenses have posted or submits a No-Cost Extension request and Transaction Form to GO. | X | X | | X | |
| **Administrative Closeout**<br>When a closeout request from a sponsor is received by NU-RES, the GMA sends an acknowledgement email to the PI & Dept. Admin, & all must verify all research activities have been completed and deliverables have been met. | | | X | | |
| **Invention/Patent Statement**<br>If required by Sponsor, GO forwards PI invention info to CRI for verification & then submits report to Sponsor. | | | X | | X |
| **Final Technical Report**<br>PI completes final technical report & GO submits to Sponsor | X | X | X | | |
| **Final Invoices / Final Financial Reports**<br>RFA coordinates with Department Administrator(s) to perform a final reconciliation of expenditures, payments, & final reports.<br>• In most cases, a final invoice or final LOC draw must be submitted. | X | X | | X | |
| **Subawards**<br>Based on outreach from the GO, the Subaward Manager contacts subrecipients to remind them to complete their final reports & submit final invoices within the timeframe specified in the subaward. | | | X | | |
| **Accounts Receivable Reconciliation**<br>AR reconciliation varies by award type:<br>• Cost-reimbursable: posted expenditures in Banner must equal cumulative reported/invoiced expenditures.<br>• Fixed-price: treatment of unspent balances is generally detailed in the award agreement. If allowed, residual balances can be retained & transferred to PI/Department indexes. | X | | X | X | |
| **Award Inactivation**<br>DS inactivates awards in Banner after financial reconciliation.<br>RA updates award status to "Closed" in COEUS after all deliverables have been submitted to Sponsor | | | X | X | |

*To learn more about the closeout process, attend our closeout session - **Best Practices: How to Effectively Reconcile and Closeout Research Awards** on June 13 at 1:30pm and review our Closeout SOP here.*

# NU-RES Umbrella - *How to make sure you are covered*



Northeastern University
**Research Enterprise Services**

# NU-RES Umbrella - *How to make sure you are covered*



NU-RES Resources Link